



Sector #3

PATENT
ATTORNEY DOCKET NO.: 040894-5699

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	
)	
Takashi NAKAMURA, et al.)	
)	
Application No.: 09/935,639)	Group Art Unit: 2811
)	
Filed: August 24, 2001)	Examiner: Not Assigned

For: SEMICONDUCTOR DEVICE AND METHOD FOR MANUFACTURING THE SAME

Commissioner for Patents
BOX MISSING PARTS
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

1. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed September 27, 2001.

A copy of the Notice to File Missing Parts of Application-Filing Date Granted (Form PTO-1533) is enclosed.

2. Declaration Or Oath

☒ [X] No declaration or oath was filed. Enclosed is the original Combined Declaration and Power of Attorney.

☐ [] The specification attached to the declaration is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

☐ [] The declaration or oath which was filed was determined to be defective. A new original Combined Declaration and Power of Attorney is attached.

3. English Translation of Non-English Language Papers

- ☐ Submitted herewith is a verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO.

Also enclosed is the Verification of Translation Document

4. ☐ Small entity status under § 1.27 is asserted for the present application.

5. Fee Calculation

Basic Fee: Patent Application-\$740.00 Design Application-\$330.00				\$ 740.00
	Number Filed	Number Extra	at a Rate of	
Total Claims	48 - 20 =	28	\$18.00 each	⁵⁰⁴ +\$508.00
Independent Claims	9 - 3 =	6	\$84.00 each	+\$504.00
Multiple dependent claim(s), if any			\$280.00	+\$280.00
Missing Parts Surcharge Fee			\$130.00	+130.00
SUB-TOTAL =				\$ 2162.00
Reduction by 1/2 for filing by a small entity				- \$
SUB-TOTAL =				\$ 2162.00
Fee For Application Filed With A Non-English Specification (37 CFR 1.17(k) and 1.52(d))			\$130.00	+
Fee For Processing and retention of application (37 CFR 1.21(l) and 1.53(d))			\$130.00	+
TOTAL FILING FEE =				\$2162.00

6. Extension of Time

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136(a) apply.

- ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 CFR 1.17(a)-(d), for the total number of months checked below:

<u>Total months requested</u>	<u>Fee for extension</u>	<u>[fee for Small Entity]</u>
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$200.00
<input type="checkbox"/> three months	\$ 920.00	\$460.00
<input type="checkbox"/> four months	\$1,440.00	\$720.00
<input type="checkbox"/> five months	\$1,2162.00	\$980.00

Extension of time fee due with this request:

If an additional extension of time is required, please consider this a Petition therefor.

- ☒ Applicants believe that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

7. Fee Payment

The total fee due is:	Completion Fees	<u>\$2162.00</u>
	Assignment Fees	<u>\$ 40.00</u>
	Total Fee Due	<u>\$2202.00</u>

- ☒ A check in the amount of \$2202.00, representing the total fee of \$740.00, additional claims fee of \$508.00, additional independent claims fee of \$504.00, multiple claims fee of \$280.00 missing parts fee of \$130.00 and the Assignment Recordation fee of \$40.00.

Except for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R §1.16 and §1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310.

8. Additional papers enclosed.
- ☐ Preliminary Amendment
 - ☐ Information Disclosure Statement
 - ☐ Form PTO-1449
 - ☐ Citations
 - ☐ Declaration of Biological Deposit
 - ☐ Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP

Mary Jane Bockius
Reg No. 33,652 *for*
Robert J. Goodell
Reg. No. 41,040

Date: November 21, 2001

Customer No. 009629

MORGAN, LEWIS & BOCKIUS LLP

1800 M Street, N.W.

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NOV 21 2001
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/935,639	08/24/2001	Takashi Nakamura	040894-5699

009629
MORGAN, LEWIS & BOCKIUS
1800 M STREET NW
WASHINGTON, DC 20036-5869

CONFIRMATION NO. 1378

FORMALITIES LETTER



OC000000006802357

Date Mailed: 09/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

11/23/2001 HROCHA1 00000032 09935639

01 FC:101	740.00 DP
02 FC:102	504.00 DP
03 FC:103	504.00 DP
04 FC:104	280.00 DP
05 FC:105	130.00 DP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1254.
 - \$504 for 28 total claims over 20.
 - \$480 for 6 independent claims over 3 .
 - \$270 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2094.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.

Regln. Ref: 11/23/2001 HROCHA1 0012444300
DA#:500310 Name/Number:09935639
FC: 704 \$4.00 DP

A copy of this notice MUST be returned with the reply.

AT
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FOR FILING

#3



PATENT
ATTORNEY DOCKET NO. 040894-5699

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Takashi NAKAMURA, et al.

Application No.: 09/935,639

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Group Art Unit: 2811

Examiner: Unassigned

For: SEMICONDUCTOR DEVICE AND METHOD FOR MANUFACTURING THE SAME

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SUBMISSION OF FORMAL DRAWINGS

Filed herewith are fifteen (15) sheets of formal patent drawings containing twenty-seven (27) figures. It is requested that these drawings be approved and made part of the official record in the above-identified patent application.

If there are any fees due in connection with the filing of these drawings, please charge the fees to our Deposit Account No. 50-0310. If a fee is required for an extension of time under 37 C.F.R. 1.136 not accounted for above, such an extension is requested and the fee should also be charged to our Deposit Account.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP

Mary Jan Bockius
Reg. No. 33,652

Robert J. Goodell

Reg. No. 41,040

Dated: November 21, 2001

Customer No. 009629

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FILED "665555"